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PTO/SB/21 (08-00)

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EO 12812-2980

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## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	08/879,827
Filing Date	June 20, 1997
First Named Inventor	JOFUKU
Group Art Unit	1641
Examiner Name	M. MOSHER
Attorney Docket Number	023070067210

Total Number of Pages in This Submission

1

### ENCLOSURES (check all that apply)

☐ Fee Transmittal Form

☐ Fee Attached

☐ Amendment / Response

☐ After Final

☐ Affidavits/declaration(s)

☐ Extension of Time Request

☐ Express Abandonment Request

☐ Information Disclosure Statement

☐ Certified Copy of Priority Document(s)

☐ Response to Missing Parts/ Incomplete Application

☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

☐ Assignment Papers (for an Application)

☐ Drawing(s)

☐ Licensing-related Papers

☐ Petition Routing Slip (PTO/SB/69) and Accompanying Petition

☐ Petition to Convert to a Provisional Application

☐ Power of Attorney, Revocation Change of Correspondence Address

☐ Terminal Disclaimer

☐ Request for Refund

☐ CD, Number of CD(s)

☐ After Allowance Communication to Group

☐ Appeal Communication to Board of Appeals and Interferences

☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)

☐ Proprietary Information

☐ Status Letter

☒ Other Enclosure(s) (please identify below):

Power of Attorney by Assignee (1 page); Certificate Under 37 CFR 3.73(b) (1 page); Photocopy of Notice of Recordation of Assignment and executed Assignment (4 pages); Return Postcard

Remarks

The Commissioner is authorized to charge any additional fees to Deposit Account 20-1430.

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm and Individual name

Townsend and Townsend and Crew LLP  
Matthew E. Hinsch

Reg No. 47,651

Signature

Date

August 22, 2001

### CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date:

August 22, 2001

Typed or printed name

Jill R. Clarke

Signature

Date


August 22, 2001

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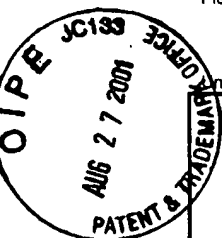
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PTO/SB/81 (02-01)

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**POWER OF ATTORNEY OR  
AUTHORIZATION OF AGENT**

Application Number	08/879,827
Filing Date	June 20, 1997
First Named Inventor	JOFUKU
Title	Method for Improving Seeds
Group Art Unit	1641
Examiner Name	M. MOSHER
Attorney Docket Number	023070067210

I hereby appoint:

☒ Practitioners at Customer Number  
**OR**

20350

Place Customer  
Number Bar Code  
Label here☐ Practitioner(s) named below:

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

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☐ The above-mentioned Customer Number.**OR**☐ Practitioners at Customer Number☐ Firm or  
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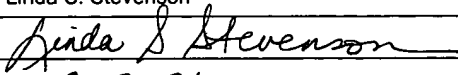
Fax

I am the:

☐ Applicant/Inventor.☒ Assignee of record of the entire interest. See 37 CFR 3.71.

Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

**SIGNATURE of Applicant or Assignee of Record**

Name	Linda S. Stevenson
Signature	
Date	8-2-01

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

☐ \*Total of \_\_\_\_\_ forms are submitted.

Burden Hour Statement: This form is estimated to take 3 minutes to complete. Time will vary depending upon the needs of the individual case. Any Comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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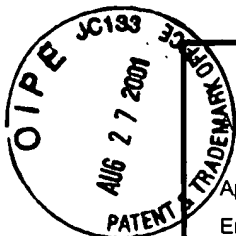
PTO/SB/96 (08-00)

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Attorney Docket No. 02307O067210



**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: Jofuku

Application No./Patent No.: 08/879,827 Filed/Issue Date: June 20, 1997

Entitled: Methods for Improving Seeds

The Regents of the University of California a University

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of an undivided part interest

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the Patent and Trademark Office at Reel 8947, Frame 0225, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: \_\_\_\_\_ To: \_\_\_\_\_  
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3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8]

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

August 2, 2001  
Date

Linda S. Stevenson  
Signature

Linda S. Stevenson

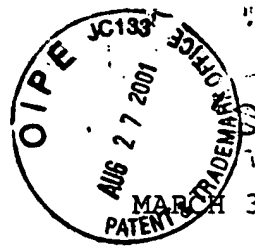
Typed or printed name

Manager, Patent Prosecution

Title

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SF 1252906 v1



03070-06721065  
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TOWNSEND AND TOWNSEND AND CREW LLP  
KEVIN L. BASTIAN  
TWO EMBARCADERO CENTER, 8TH FLOOR  
SAN FRANCISCO, CA 94111-3834

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, NORTH TOWER BUILDING, SUITE 10C35, WASHINGTON, D.C. 20231.

RECORDATION DATE: 02/02/1998

REEL/FRAME: 8947/0225  
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

JOFUKU, K. DIANE

DOC DATE: 12/17/1997

ASSIGNOR:

OKAMURO, JACK K.

DOC DATE: 12/17/1997

ASSIGNEE:

CALIFORNIA, UNIVERSITY OF, THE, REGENTS OF  
300 LAKESIDE DRIVE, 22ND FLOOR  
OAKLAND, CALIFORNIA 94612-3550

SERIAL NUMBER: 08879827  
PATENT NUMBER:

FILING DATE: 06/20/1997  
ISSUE DATE:

SHIRLIE SIMON, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

02-12-1998

by Docket No. 023070-067210

DEPARTMENT OF COMMERCE  
Patent and Trademark Office

To the Honorable Asst. Commissioner for Patents. Please

1. Name of conveying party(ies):  
K. Diane Jofuku and Jack K. Okamuro

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other:

Execution Date: December 17, 1997

Name: The Regents of the University of California

Internal Address:

Street Address: 300 Lakeside Drive, 22nd Floor

City: Oakland State: CA ZIP: 94612-3550

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s).

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s) 08/879,827

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Kevin L. Bastian  
TOWNSEND and TOWNSEND and CREW LLP  
Two Embarcadero Center, 8th Floor  
San Francisco, California 94111-3834  
(415) 576-0200

6. Total number of applications and patents involved:

7. Total fee (37 CFR 3.41):..... \$ 40.00

- ☐ Enclosed ☒ Charge Fees to Deposit Account  
☒ Charge any additional fees associated with this paper or during the pendency of this application, or credit any overpayment, to deposit account

8. Deposit account number: 20-1430 **40E**

02/12/1998 VBRON 00000131 DAI:201430 08879827  
01 FC:581 40.00 CH

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Kevin L. Bastian  
Name of Person Signing

Signature

January 28, 1998  
Date

Atty. Reg. No. 34,774

Total number of pages including cover sheet, attachments, and document:

10. Change Correspondence Address to that of Part 5? ☐ Yes ☒ No

OMB No. 0651-0011 (exp. 4/94)

Mail documents to be recorded with required cover sheet information to:  
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Asst. Commissioner for Patents  
Box Assignments  
Washington, D.C. 20231

ASSIGNMENT

U.C. Case No. 97-234-1:

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

1. K. Diane Jofuku

2. Jack K. Okamuro

hereby sells, assigns and transfers to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located 300 Lakeside Drive, 22nd Fl., Oakland, CA 94612-3550, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

METHODS FOR IMPROVING SEEDS

and which is found in

(a) \_\_\_\_\_ U.S. provisional application filed herewith and listing the above-named persons as inventors

(b) \_\_\_\_\_ U.S. patent application filed herewith and listing the above-named persons as inventors

(c) X \_\_\_\_\_ U.S. application serial no. 08/879,827, filed on June 20, 1997

(d) \_\_\_\_\_ U.S. Patent No.: \_\_\_\_\_, issued \_\_\_\_\_

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

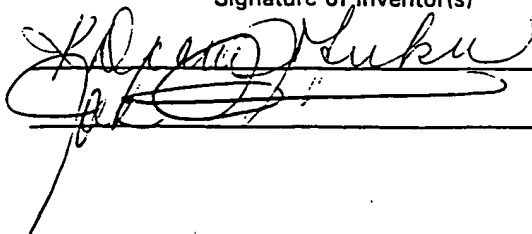
AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this

17<sup>th</sup> day of December, 1997

17 day of December, 1997

Signature of Inventor(s)



A handwritten signature, appearing to read "Robert M. Lukan", is written over a horizontal line. Below this line is another horizontal line, and a long, thin vertical line extends downwards from the signature.

F:\DATA\PS\PTO\DISB\1603.1